WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION

DATCP Six Sigma Continuous Improvement

Project Charter

Name: "Don't Shoot the Messenger" - ARM Lab Sampling

Date Last Updated: December 14, 2012

Executive Sponsor: Office of the Secretary

Ben Brancel, Secretary
Jeff Lyon, Deputy Secretary
Susan Buroker, Executive Assistant

DATCP Six Sigma Point of Contact:

Perry Brown, Office of the Secretary

Lab Sampling Project Team Members:

Kevin Brey, DARM
Mark McCloskey, DARM
Kate Angeles, Bureau of Lab Services
Amy DeBaker, Bureau of Lab Services
David St. Jules, DFS
Kim Zierler, DFS
Mike Bandli, DAD - Team Leader

Key Additional Support and Resource People:

ARM Field Staff
BLS Lab Staff

Key Stakeholders:

DATCP ARM Division
External Feed and Fertilizer Companies
Landowners
Municipalities

Secondary Stakeholders:

Governor
Secretary & Executive Staff
Citizens

General DATCP Initiative Goals:

The DATCP initiative is not about changing state statutes, administrative rules, business standards or eliminating jobs. It is focused on improving process to meet the following strategic goals:

- Choose three initial projects which represent internal processes that can be improved to generate efficiencies and improve internal customer service
- Reduce processing/delivery time, by 10 – 30%, for customers receiving a business product or service from the agency.
- Repurpose DATCP staff workload as a result of lean methodologies creating efficiencies in business service activities.
- Improve External Customer Satisfaction.

Overview: (History and background Rationale for Project)

DATCP is seeking to identify and realize potential for improved efficiency of the Division of Agricultural Resource Management (ARM) submission of samples to the Bureau of Lab Services (BLS) and the subsequent dissemination of lab result findings and the printed lab analysis reports.

Problem Statement:

There is not a consistently defined or executed protocol for dissemination of in compliance lab results/findings for ARM surveillance/monitoring (feed or fertilizer) testing and in some cases, a field staffer has not received final confirmation of results for up to 6 months after the testing. As a result, it is difficult to meet ARM field staff or sample site expectations or provide further value from the sampling results.

Issues to be addressed:

1. Lab result findings and printed lab analysis reports are not shared consistently within the Division of Agricultural Resource Management.
2. External customers are not always notified of lab sampling results.
3. Database Extract is not used fully.

Team Goals:

- Improve the accessibility of ARM office and field staff to lab result findings and reports.
- Standardize the process of sharing lab result findings and/or lab reports to field staff and sample site.
- Reduce the dependence on printed and mailed reports by 30%.

Responsibilities and Boundaries:

The team will look at:
- Current process flow including Sample Collection Record (SCR) submission and intake;
- Current process flow including Lab findings/report generation and dissemination;
- Key Stakeholder expectations and needs;

(for ARM surveillance and monitoring (feed and fertilizer), spills and toxic response activities)

The team will not look at:

- Standard Operating Procedures (SOPs) conducted by field staff to collect the samples.
- Activities of non-DATCP shipping carriers.
- Standard Operating Procedures conducted by the Bureau of Lab Service to assure accreditation and validity of sample integrity and evaluation.
- ARM complaint investigations that cannot be disclosed until the case is closed.
- ARM Pesticide (Ag 29) sampling process flow.

Measures to be Used:

1. Time – As it relates to the duration of time from lab findings/report generation to final dissemination of lab result findings or printed report to the final recipient.
2. The number of printed copies of the lab analysis report generated through the process.
3. The number of mailings of the lab analysis report generated through the process.

Plan of Work:

1. Define the current problem to be addressed
   a. Establish Process Flow Chart
   b. Identify Customer Expectations (Kano Analysis)
   c. Establish Problem Statement
   d. Identify Metrics
2. Measure current performance levels for both positive and negative lab results
3. Analyze Problems identified
4. Brainstorm possible improvements
5. Prepare recommendations for consideration

Expected results:

1. Greater use of electronic tools to handle report and findings dissemination.
2. Reduction of the number of printed and mailed reports.
3. Lab and ARM staff better able to manage the expectations of external customers and provide greater value to consumers.

Project Timeline:

Project Initiation   August 28, 2012
Training   October 25-26, 2012
Training   November 28-29, 2012
Project Analysis   September – December, 2012
Finalize Recommendations   January 15, 2013

Date: 6-7-13

Ben Brancel, Secretary

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION
DATCP Six Sigma Continuous Improvement
Project Recommendations

Name: "Don't Shoot the Messenger" - ARM Sampling

Date Last Updated: January 15, 2013

Overview and restatement of issue:

DATCP is seeking to identify and realize potential for improved efficiency of the Division of Agricultural Resource Management (ARM) submission of samples to the Bureau of Lab Services (BLS) and/or the subsequent dissemination of lab result findings and the printed lab analysis reports.

In our review of the sampling and report out process, the team was trying to identify ways to:
> improve the accessibility of ARM office and field staff to lab result findings and reports,
> standardize the sharing of lab result findings and/or lab reports with field staff and sample sites,
> reduce the amount of dependency on mailed hard copies of reports,
> and eliminate process steps.

Most ARM sampling is seasonal in nature and there is typically a fundamental difference in the purpose of sampling within ARM and the sampling within the DATACP Division of Food Safety (DFS). The sampling within DFS is to determine the presence or (preferably) the absence of a pathogen. With the exception of Spills and Remediation, most of the ARM sampling is to determine the consistency and compliance of labeling and product. As a result, an ARM sample may require up to a series of 10 tests and testing may take up to a month to complete initial findings. At which time, the feed or fertilizer may have already been used and DATCP plays a monitoring role. In addition, there is a significant difference in how the lab analysis report can be disseminated based on whether the purpose of sampling was due to a complaint investigation or surveillance. In a complaint investigation, the results may not be released until the case is closed.

Although, larger time savings(30-50% reductions) may not be as evident with the ARM sampling as with DFS sampling, there are lessons that can be learned from each program's approach to sampling. The focus of this six sigma project has been to identify potential steps within the sampling and report out process and look for steps within that process that can be made more efficient.

Below are a number of recommendations for consideration by ARM management. These recommendations were developed during team discussions. Although, the recommendations generally would be directed toward the Feed and Fertilizer surveillance programs, there may be benefits to other ARM program areas as well.

Reference Materials:

- ARM Sampling Project Charter
- DATCP Sampling – High Level Process Map
- Database Relationship Structure
- BLS Stakeholder Expectations
- ARM Sampling Process Flow Chart – Spills
- ARM Sampling Process Flow Chart – "Everything Else"
- ARM Value Stream Map
- ARM Sampling - BLS Reports
- ARM Sampling Breakdown 2011

Recommendations and Discussion:

1) Set up a dedicated printer at ARM to print all Lab analysis reports generated by the Lab

   Currently, ARM sampling for Spills and Toxic Response are printed at POB_2_ Central. The Spills coordinator picks up the report and acts accordingly. For all other ARM sampling, lab analysis reports are printed at a designated printer at BLS. Shifting this to step to the central ARM office would eliminate the steps of having Lab staff compile and send those reports to the central office via courier.

   - Eliminates step in process.
   - Nominal reduction of process time. (1-4 hours per report)

2) Scan the lab analysis report upon printing and email a pdf version of the report to appropriate field staff.

   We believe this is typically done within ARM programs already, but this is included as a discussion point for those programs that do not scan the reports.

   This recommendation could reduce the amount of printed copies of the report, eliminate the need to mail hard copies, and would not require any new equipment, software or training. As an added option, the scanned report could be stored in a central file for access by staff.

   The Department would need to identify someone to physically scan the documents. If the lab was to do this, it would increase work load on the lab staff, shifting a new work responsibility to the lab and requiring further discussion of what fulfills the reporting requirement for the lab. If this recommendation is selected, it may be more appropriate to ask specific ARM staff to take on this role.

   This recommendation would also make the assumption that field staff would relate information to the sample site. Currently, the SCR does not include emails for the sample sites. It may require some policy discussion that would add this expectation to the responsibilities of the field

inspector and whether the division would want lab analysis reports shared with field staff and the sample site.

- Nominal reduction in printing.
- May provide field staff greater access to lab analysis reports and lab sampling findings.

3) Set up a system through GovDelivery to generate automated messages for field inspectors and sampling sites

> The team did not fully discuss this as a recommendation, but this was discussed with Perry Brown as a potential item to consider.

> This recommendation would not require any new equipment or software, but would require someone at the Department to set up and manage the GovDelivery system of lab result dissemination. It may also require some additional training for staff.

> This recommendation would also make the assumption that field staff would relate information to the sample site. Currently, the SCR does not include emails for the sample sites. It may require some policy discussion that would add this expectation to the responsibilities of the field inspector and whether the division would want lab analysis reports shared with field staff and the sample site.

- Nominal reduction in printing.
- May provide field staff greater access to lab analysis reports and lab sampling findings.

4) Develop greater use of the extract database
   a. Run lab findings daily and email appropriate findings to staff
   b. Staff report generation

> This recommendation mirrors for ARM what the DFS meat program currently has developed from the extract database. Currently, DATCP BITS downloads lab analysis results daily into an extract database housed at the central DATCP office. Meat program staff then generates a crystal report each morning for the prior morning's lab sampling and emails the consultants, supervisors, section chiefs and food scientists of the findings downloaded from the Lab. Meat program staff also emails the inspector the findings for their sampling.

> This recommendation could reduce the amount of printed copies of the lab analysis report and eliminate the need to mail hard copies for the ARM feed and fertilizer program. In addition, it could provide a mechanism to efficiently report out positive or negative findings for the ARM programs to field staff without dependence on a specific report. Depending on staff access to the extract database and searchability, program staff could further develop reporting features able to provide historical sample results for the sample site on an as needed basis.

This recommendation would not require any new equipment or software. It may require the Department to identify someone to develop the queries for the various reports required by the division or may require some training of staff to use and develop crystal reports.

This recommendation would also make the assumption that field staff would relate information to the sample site. Currently, the SCR does not include emails for the sample sites. It may require some policy discussion that would add this expectation to the responsibilities of the field inspector and whether the division would want lab analysis reports shared with field staff and the sample site.

- Nominal reduction in printing.
- May provide field staff greater access to lab analysis reports and lab sampling findings.

5) Lab reports are printed for archival, but also stored as image in special drive

Currently, the Lab prints the final lab analysis at a defined printer at the Lab. There is a requirement of the Lab to provide a printed report, however many of the printers here at DATCP seem capable of saving an image (scanned) into a defined electronic file folder.

If this can be extended to print requests coming from the Lab or anything passing through a dedicated printer, it would further aid the lab reporting process by eliminating the need for a staff member to physically scan the Lab analysis report. Further, depending on division business rules, this process could provide the division with the option of providing various staff members access to reports on an as needed basis and fulfill any achival requirements the Department may have. This could eliminate the need to print or mail copies of the lab analysis report all together.

This recommendation may not require any new equipment, but may require the Department to invest in some programming time to set up the printers to conduct these functions.

This recommendation would also make the assumption that field staff would relate information to the sample site. Currently, the SCR does not include emails for the sample sites. It may require some policy discussion that would add this expectation to the responsibilities of the field inspector and whether the division would want lab analysis reports shared with field staff and the sample site.

- Nominal reduction in printing.
- May provide field staff greater access to lab analysis reports and lab sampling findings.

6) Develop electronic SCR Forms and Bar coding

Although this recommendation does not directly impact the lab sample reporting process, it was discussed as a possible improvement to the overall lab sampling process.

Currently, multiple carbonless paper copies of the Sample Collection record (SCR) are generated and mailed from the inspection site (with the sample) to the lab, where the sample is provided a lab number (indicated on the original and yellow copies of the SCR) and sent on via courier to the Central ARM office and archived.

This recommendation would require the inspectors be equipped with computer equipment and printers capable of producing an electronic copy of the SCR and/or bar code. It would also require the lab have bar code reading devices. It may also require the Department to provide training to best use the new technology.

If the Department was to pursue this recommendation, it would need to define those new process steps and electronic forms to assure accuracy and requirements such as chain of custody.

Potential impacts are strictly for discussion purposes and have not been assessed.
- Eliminates or reduces carbonless paper SCR forms (Potential Cost Savings of $ __500__ /year)
- Eliminates or reduces approximately __3000__ mailings of SCR per year.
  (Mailing cost = $ __.35__ /each = Potential Cost Savings of $ 1050 /year)
- Reduces data entry time required by Lab – partially shifted to field inspection staff.
- Eliminates time delays caused by shipping SCR hard copies.

Date: 6-7-13

Ben Brancel, Secretary

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION
DATCP Six Sigma Continuous Improvement
Project Implementation and Control Plan

Name: "Don't Shoot the Messenger" - ARM Sampling

Current Project Owner: ARM Division, Bureau of Ag Chem

Project Implementation Goals:

This implementation plan is designed to address two main issues:
1. The dissemination and logistics behind the sharing of lab sampling reports and findings, and
2. The assessibility of data generated from the lab sampling reports and findings.

In addition, it needs to take into account the following desires of the Division of Agricultural Resource Management:
- A move away from paper copies to a wider use of electronic formats.
- Storage of lab data and the ability to access and print sample history for a facility on demand.
- Platform for further Enterprise development – need to integrate with BAMIT (Bureau of Agrichemical Management Information Technology) Project.
- Change SCR to include plant and or inspector emails.
- Security. (Legally secure reports and information for complaint cases.)

General Plan: Report Logisitics

1) Set up a dedicated printer at ARM to print all Lab analysis reports generated by the Lab

  Currently, ARM sampling for Spills and Toxic Response are printed at POB_2_ Central. The Spills coordinator picks up the report and acts accordingly. For all other ARM sampling, lab analysis reports are printed at a designated printer at BLS. Shifting this to step to the central ARM office would eliminate the steps of having Lab staff compile and send those reports to the central office via courier.

  - Eliminates step in process.
  - Nominal reduction of process time. (1-4 hours per report)
2) Discuss "Print to PDF" options with BITS
    a. Initial discussion between Mike Bandli and Jim Amundson established possibility of "print to pdf, but a further discussion involving lab personnel and ARM personnel should take place.
3) Define Electronic Archiving procedures:
    - Set up folders.
    - File naming system for staff to be able to access the correct file.
    - Set up access permissions.
    - Determine RDA

4) Define "Official Copy", archive requirements.
5) Set up trial run for a test sampling code (save and print)
6) Gather, set-up and maintain email database for sample sites and field inspectors.
7) Set up an extract report to run for ARM sampling programs. (similar to what the DFS- meat program has already.)
8) Set up distribution lists for ARM staff for the extract reports.

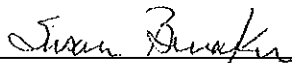## Measurement & Tracking Real Results:

- Establish a tracking tally sheet to measure number of reports and calculated savings from reduced/eliminated mailing and printing.
- Track time for reports/findings to be delivered to sample site, over period of one _Spring season?_, to establish average baseline. Check against value stream map to measure improvement.

General Plan: Data Accessibility – Data production on demand

1) Set up a report to be run daily for a report out of lab sampling reports generated. (see #7 above)
2) Create a template to request a historical sampling report for a facility as a demonstration test.
3) Identify key database permissions.
4) Identify roles: developers and users – train accordingly.
5) Survey staff for reports wanted or needed.
6) Further project development based on list.
7) Test

Measurement & Tracking Real Results:

- Establish a tracking tally sheet to measure number of reports generated and individual estimated impacts of developed report templates. (May need to have report template requestor/generator to assess impact of report template.)

Sue Buroker, Executive Assistant

Date: 6-5-13

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION
DATCP Six Sigma Continuous Improvement
Project Charter

Name: "Don't Shoot the Messenger" - DFS Sampling

Date Last Updated: December 13, 2012

Executive Sponsor: Office of the Secretary

Ben Brancel, Secretary
Jeff Lyon, Deputy Secretary
Susan Buroker, Executive Assistant

DATCP Six Sigma Point of Contact:

Perry Brown, Office of the Secretary

Lab Sampling Project Team Members:

Kevin Brey, DARM
Mark McCloskey, DARM
Kate Angeles, Bureau of Lab Services
Amy DeBaker, Bureau of Lab Services
David St. Jules, DFS
Kim Zierler, DFS
Mike Bandli, DAD - Team Leader

Key Additional Support and Resource People:

Lori Erdman – DFS-Eau Claire
Emmy Namagachi – DFS-Meat Program - Madison

Key Stakeholders:

DATCP Division of Food Safety Admin, Program staff and Field Staff
DATCP BLS Lab Staff
External Food, Dairy and Meat Companies
Local Health Agents
Consumers

<u>**Secondary Stakeholders:**</u>

> Governor
> Secretary
> Executive Staff
> Citizens

<u>**General DATCP Initiative Goals:**</u>

The DATCP initiative is not about changing state statutes, administrative rules, business standards or eliminating jobs. It is focused on improving process to meet the following strategic goals:

- Choose three initial projects which represent internal processes that can be improved to generate efficiencies and improve internal customer service
- Reduce processing/delivery time, by 10 – 30%, for customers receiving a business product or service from the agency.
- Repurpose DATCP staff workload as a result of lean methodologies creating efficiencies in business service activities.
- Improve External Customer Satisfaction.

<u>**Overview:**</u>

DATCP is seeking to identify and realize potential for improved efficiency of the Division of Food Safety (DFS) submission of samples to the Bureau of Lab Services (BLS) and the subsequent dissemination of lab result findings and the printed lab analysis reports.

<u>**Problem Statement:**</u>

For positive lab results, a plant will often receive notification within 3 or 4 days; and for negative results (most common) the plant will often receive the findings within 10 days. However, in some cases the results were delayed for up to 1-2 months before a responsible party at the food company received the lab result findings from a sampling. Because a food company will often voluntarily hold product to avoid the risk and cost of a food recall, they need to have lab results very quickly or it costs the company money and product quality.

<u>**Issues to be addressed:**</u>

1. Lab result findings and printed lab analysis reports are not shared consistently within the Division of Food Safety.
2. External customers not always notified of lab sampling results in a timely manner.

<u>**Team Goals:**</u>

- Improve the accessibility of DFS office and field staff to lab result findings and reports.
- Standardize the process of sharing lab result findings and/or lab reports to field staff and sample site.
- Establish and measure baseline expectation for delivery of lab result findings within 10 business days.
- Reduce the dependence on printed and mailed reports by 30%.

Responsibilities and Boundaries:

The team will look at:
- Current process flow including Sample Collection Record (SCR) submission and intake;
- Current process flow including Lab findings/report generation and dissemination;
- Key Stakeholder expectations and needs;

The team will not look at:
- Standard Operating Procedures (SOPs) conducted by field staff to collect the samples.
- Activities of non-DATCP shipping carriers.
- Standard Operating Procedures conducted by the Bureau of Lab Service to assure accreditation and validity of sample integrity and evaluation.

Measures to be Used:

1. Time – As it relates to the duration of time from lab findings/report generation to final dissemination of lab result findings or printed report to the final recipient.
2. The number of printed copies of the lab analysis report generated through the process.
3. The number of mailings of the lab analysis report generated through the process.

Plan of Work:

1. Define the current problem to be addressed
   a. Establish Process Flow Chart
   b. Identify Customer Expectations (Kano Analysis)
   c. Establish Problem Statement
   d. Identify Metrics
2. Measure current performance levels for both positive and negative lab results
3. Analyze Problems Identified
4. Brainstorm possible improvements
5. Prepare recommendations for consideration

Expected results:

1. Greater use of electronic tools to handle report and findings dissemination.
2. Reduction of the number of printed and mailed reports.
3. Lab and DFS staff better able to manage the expectations of external customers and provide greater value to consumers.

Project Timeline:

Project Initiation	August 28, 2012
Training	October 25-26, 2012
Training	November 28-29, 2012
Project Analysis	September – December, 2012
Finalize Recommendations	January 15, 2013

Ben Brancel   Date: 6-7-13
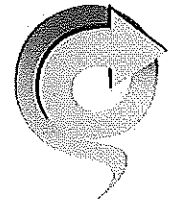
Ben Brancel, Secretary

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION
DATCP Six Sigma Continuous Improvement
Project Recommendations

Name: "Don't Shoot the Messenger" - DFS Sampling

Date Last Updated: January 25, 2013

Overview and restatement of issue:

DATCP is seeking to identify and realize potential for improved efficiency of the Division of Food Safety (DFS) submission of samples to the Bureau of Lab Services (BLS) and/or the subsequent dissemination of lab result findings and the printed lab analysis reports.

In our review of the sampling and report out process, the team was trying to identify ways to:
> reduce the overall time it would take for a sample site to hear their sample findings,
> reduce the amount of dependency on mailed hard copies of reports

Both the meat and dairy/food programs have worked to schedule their sampling across the whole year, thereby reducing potential backlogs at the lab. In addition, the meat program has developed a way to better use the extract database as a tool to both notify field inspectors of lab findings and manage the scheduling of samplings. The process developed by the meat program could serve as a model for the food and dairy program.

In 2011, the Meat program generated at least 3629 samples, printed at least 4217 lab analysis reports, and mailed one copy of each report to the inspector. This mailing was often batched with other items and sent in the Thursday inspector mailing. The Meat program does not typically share a printed copy of the report with the meat processing facility.

In 2011, the Dairy and Food program generated at least 6448 samples, printed over 18,000 copies of the lab analysis reports and mailed over 11,600 reports. Most of the mailings were included in the weekly inspector mail, however by using more electronic distribution of the lab analysis reports, the Department could realize a real cost savings of several thousand dollars.

Below are a number of recommendations for consideration by DFS management. These recommendations are generally directed toward the Food and Dairy program; however several recommendations may have benefits for the meat program as well. These recommendations were developed during team discussions.

Reference Materials:

- DFS Sampling Project Charter
- DATCP Sampling – High Level Process Map
- Database Relationship Structure
- BLS Stakeholder Expectations
- DFS Sampling Process Flow Chart – Dairy and Food
- DFS Sampling Process Flow Chart – Meat
- DFS Value Stream Maps
- DFS Sampling Breakdown 2011

Recommendations and Discussion:

1) Scan the lab analysis report upon printing and email a pdf version of the report to appropriate field staff.

> This recommendation could reduce the amount of printed copies of the report, eliminate the need to mail hard copies, and would not require any new equipment, software or training. As an added option, the scanned report could be stored in a central file for access by staff. The Department would need to identify someone to physically scan the documents. If the lab was to do this, it would increase work load on the lab staff, shifting a new work responsibility to the lab and requiring further discussion of what fulfills the reporting requirement for the lab.

> Currently, DFS Eau Claire staff scans dairy reports and sends to the program manager to provide for program assurances for the Legislative Audit Bureau. If this recommendation is selected, it may be more appropriate to ask Eau Claire staff to take on this role.

> Currently, the SCR does not include emails for the plants or local food agents. To be effective, a contact list for local food agents and possible DATCP inspectors would need to be developed and maintained, or this additional information be added to the SCR. In the course of testing this recommendation, a file was identified including the local agent contact information. (N:\DFS\Ref\Directories\DFSAgents.pdf)

> This recommendation would also make the assumption that field staff would relate information to the dairy or food facility. It may require some policy discussion that would add this expectation to the responsibilities of the field inspector.

2) Set up a system through GovDelivery to generate automated messages for field inspectors.

> The team did not fully discuss this as a recommendation, but this was discussed with Perry Brown as a potential item to consider.

> This recommendation could reduce the amount of printed copies of the report and eliminate the need to mail hard copies. This recommendation would not require any new equipment or

software, but would require someone at the Department to set up and manage the GovDelivery system of lab result dissemination. It may also require some additional training for staff.

This recommendation may also make the assumption that field staff would relate information to the dairy or food facility. It may require some policy discussion that would add this expectation to the responsibilities of the field inspector or access of the facility.

Although GovDelivery could also be set up to allow meat, dairy or food facilities to receive notifications for lab sampling noticies involving their facility, we do not recommend this to be set up at this time. Notification of sample sites prior to inspectors interpretation is not advised because of the significant risk to human health if findings were misinterpreted or not completed prior to the release of product by the facility.

3) Develop greater use of the extract database
    a. Run lab findings daily and email appropriate findings to staff
    b. Staff report generation

This recommendation mirrors for dairy and food what the meat program currently has developed from the extract database. Currently, DATCP BITS downloads lab analysis results daily into an extract database housed at the central DATCP office. Meat program staff then generates a crystal report each morning for the prior morning's lab sampling and emails the consultants, supervisors, section chiefs and food scientists of the findings downloaded from the Lab. Meat program staff also emails the inspector the findings for their sampling.

This recommendation could reduce the amount of printed copies of the report and eliminate the need to mail hard copies for the DFS dairy and food program. In addition, it could provide a mechanism to efficiently report out positive or negative findings for the DFS programs to field staff without dependence on a specific report. Depending on staff access to the extract database and searchability, program staff could develop reporting features able to provide historical sample results for the facility.

This recommendation would not require any new equipment or software. It may require the Department to identify someone to develop the queries for the various reports required by the division or may require some training of staff to use and develop crystal reports.

Currently, DFS Eau Claire staff provides backup for Madison meat program staff and is familiar with the crystal reports used by the meat program.

This recommendation would also make the assumption that field staff would relate information to the dairy or food facility. It may require some policy discussion that would add this expectation to the responsibilities of the field inspector.

4) Print lab reports for archival purposes, but also stored as image in special drive as a pdf file.

Currently, the Lab prints the final lab analysis at a defined printer in Eau Claire, Madison or at the Lab. There is a requirement of the Lab to provide a printed report, however many of the printers here at DATCP seem capable of saving a scanned image (pdf file) into a defined electronic file folder.

If this can be extended to print requests coming from the Lab or anything passing through a dedicated printer, it would further aid the lab reporting process by eliminating the need for a staff member to physically scan the Lab analysis report. Further, depending on division business rules, this process could provide the division with the option of providing various staff members access to reports on an as needed basis and fulfill any achival requirements the Department may have. This could eliminate the need to print or mail copies of the lab analysis report all together.

This recommendation may not require any new equipment, but may require the Department to invest in some programming time to set up the printers to conduct these functions.

This recommendation would also make the assumption that field staff would relate information to the dairy or food facility. It may require some policy discussion that would add this expectation to the responsibilities of the field inspector.

Estimation of potential Savings:

Each of the above recommendations suggests efficiencies created using more electronic copies of lab analysis reports. Any of the above recommendations or combinations of the above would eliminate additional copying of the lab analysis report. It may also help reduce departmental mailings to DFS inspectors or business mailing to the food or dairy plants, and local health agents. Below is an estimate of anticipated annual savings.

- Eliminates or reduces approximately 16400 printed copies of lab analysis report per year. (Printing cost = $0.015/report = Potential Cost Savings of $246/year)
- Eliminates or reduces approximately 4400 mailings per year. (Mailing cost = $0.39/each = Potential Cost Savings of $ 1716/year)
- Eliminates time delays caused by mailing hard copies. (Average Current time = 6-8 days. New average time 4-5 days)

Additional Potential Recommendation:

5) Develop electronic SCR Forms and Bar coding

Although this recommendation does not directly impact the lab sample reporting process, it was discussed as a possible improvement to the overall lab sampling process.

Currently, multiple carbonless paper copies of the Sample Collection record (SCR) are generated and mailed from the inspection site (with the sample) to the lab, where the sample is provided a lab number (indicated on the original and yellow copies of the SCR) and sent on via courier to the Eau Claire or Central DFS office and archived.

This recommendation would require the inspectors be equipped with computer equipment and printers capable of producing an electronic copy of the SCR and/or bar code. It would also require the lab have bar code reading devices. It may also require the Department to provide training to best use the new technology.

NOTE: The meat program inspectors have electronic versions of the SCR to use, but are directed to use the carbonless hard copies. Inspection personnel also have computers and printers they could use to print the SCR's and bar code stickers. However, the computers are owned by the USDA, which will not allow DATCP to install unapproved (by them) software on them. The USDA however uses a bar code system for their sampling that is printed at their HQ and sent to the inspectors. DATCP could explore this type of system. The DFS Meat program is discussing assignment of samples on a monthly basis following the USDA's system. They will be discussing this and may be switching to this system including bar coding in the near future (June 2013). More clarification is needed from DFS management.

If the Department was to pursue this recommendation, it would need to define those new process steps and electronic forms to assure accuracy and requirements such as chain of custody.

Potential impacts are strictly for discussion purposes and have not been assessed.
- Elimination or reduction of carbonless paper SCR forms.
- Elimination or reduction of approximately 6400 mailings of yellow SCR copy from BLS to DFS Eau Claire and 3600 mailings (via courier) from BLS to DFS meat Program in Madison per year.
- Reduces data entry time required by Lab – partially shifted to field inspection staff.
- Eliminates time delays caused by shipping SCR hard copies.

Date: 7-5-13

Ben Brancel, Secretary

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION
DATCP Six Sigma Continuous Improvement
Project Implementation and Control Plan

Name: "Don't Shoot the Messenger" - DFS Sampling

Current Project Owner: DATCP Divsion of Food Safety

Project Implementation Goals:

This implementation plan Is designed to address two main issues:
1. The dissemination and logistics behind the sharing of lab sampling reports and findings, and
2. The assessibility of data generated from the lab sampling reports and findings.

In addition, it needs to take into account the following desires of the Division of Food Safety:
- A move away from paper copies to a wider use of electronic formats.
- The immediate notification of inspectors for all testing; with a potential delayed (24 hrs.) notification of the [dairy/food] plant (Not for a meat processing facility.)
- Storage of lab data and the ability to access and print licensing and sample history for a facility on demand.
- Platform for further Enterprise development.
- Change SCR to include plant and or inspector emails.
- Security. (Legally secure reports and information)
- Maintain confidentiality of plants and inspectors.

General Plan: Report Logisitic Steps

1) Discuss "Print to PDF" options with BITS
   - Initial discussion between Mike Bandli and Jim Amundson established possibility of "print to pdf, but a further discussion involving lab personnel and DFS personnel should take place.
2) Define Electronic Archiving procedures:
   - Set up folders.
   - File naming system for staff to be able to access the correct file.
   - Set up access permissions.
   - Determine RDA
3) Define "Official Copy", archive requirements.
4) Set up trial run for a test sampling code (save and print)
5) Gather, set-up and maintain email database for plants, inspectors and local health agents.

6) Set up an extract report to run for food programs and dairy programs. (similar to what the meat program has already.)
7) Set up distribution lists for DFS staff for the extract reports.

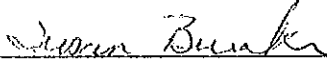## Measurement & Tracking Real Results:

- Establish a tracking tally sheet to measure number of reports and calculated savings from reduced/eliminated mailing and printing.
- Track time for reports/findings to be delivered to sample site, over period of one week, to establish average baseline. Check against value stream map to measure improvement.

General Plan: Data Accessibility – Data production on demand

1) Set up a report to be run daily for a report out of lab sampling reports generated. (see #6 above)
2) Create a template to request a historical sampling report for a facility as a demonstration test.
3) Identify key database permissions.
4) Identify roles: developers and users – train accordingly.
5) Survey staff for reports wanted or needed.
6) Further project development based on list.
7) Test

Measurement & Tracking Real Results:

- Establish a tracking tally sheet to measure number of reports generated and individual estimated impacts of developed report templates. (May need to have report template requestor/generator to assess impact of report template.)

Sue Buroker, Executive Assistant

Date: 6-5-13

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION
Traveling Wilburys Project Charter

Name: DATCP Six Sigma Initiative - Out of State Travel Authorization Project

Executive Sponsor: Office of the Secretary

> Ben Brancel, Secretary
> Jeff Lyon, Deputy Secretary
> Susan Buroker, Executive Assistant

DATCP Project Leader:

> Perry Brown, Administrator, Division of Management Services

Traveling Wilburys Team Members:

> Kelly Monaghan, OS- Team Leader
> Kathy Roach, DFS
> Brian Kuhn, DARM
> Amanda DeWar, DMS (Human Resources)
> Sowmya Partha, DMS
> Kelly Smithback, TCP
> Glen Hanson, DMS (Finance)

Key Additional Support and Resource People:

> The DATCP Out of State Travel Authorization Customers which include:
> - Those who travel
> - Those approve or deny out of state travel requests
> - Those who review or handle out of state travel requests
>
> Finance
> IT
> DOA Audit Bureau
> Legislative Audit Bureau
> Federal Agencies
> Public Records Requesters

Key Stakeholders:

        Governor
        Secretary
        Executive Staff
        DATCP Divisions
        DATCP Staff

Overview: (History and background Rationale for Project)

On May 2, 2012, the Governor issued Executive Order #66 which establishes the Wisconsin Lean Government initiative and directs all Cabinet level agencies to implement a "Lean Government" program.

DATCP decided to focus on three projects initially: The Out of State Travel Authorization Process, The Travel Voucher Process, and the DFS/DARM Lab Sample Program. The belief is that these processes may be overly bureaucratic and inefficient resulting in need to be generalized, streamlined, and potentially automated to allow better service to our customers internally and externally.

General DATCP Initiative Goals:

The DATCP initiative is not about changing state statutes, administrative rules, business standards or eliminating jobs. It is focused on improving process to meet the following strategic goals:
- Choose three initial projects which represent internal processes that can be improved to generate efficiencies and improve internal customer service
- Reduce processing/delivery time, by 10 – 30%, for customers receiving a business product or service from the agency.
- Repurpose DATCP staff workload as a result of lean methodologies creating efficiencies in business service activities.
- Improve External Customer Satisfaction.

Traveling Wilburys Project Summary:

Review DATCP's current Out of State Travel Authorization process to eliminate areas of waste as outlined in the Lean Six Sigma teachings. Our proposed solutions will focus on efficiency and customer satisfaction, while promoting standardization and long term sustainability.

The team's scope will focus on the Out of State Travel Authorization process from when an employee submits the completed form to when the traveler is notified that the request is approved or denied, as well as improving the overall process awareness of the DATCP employees.

Our constraints consist of the Secretary's review of each request, his availability, and the denial/approval criteria that he has established. The team will also not be evaluating the budget/expense documentation that is attached to a request once it has been approved by the Secretary.

Traveling Wilburys Problem Statement:

- Increase customer satisfaction with the overall Out of State Travel authorization process by 20%.
- Reduce total processing time for Out of State Travel requests by a minimum of 10% through increasing efficiency and process definition.
- Increase customer awareness of the Out of State Travel authorization process by 10%.

Project Deliverables: Phase I

High-Level Timeline	Target Date
Project Start Up	August 21, 2012
Training	August – November 2012
Process Selection/Prioritization	September 28, 2012
Process Redesign	Sept – November 2012
	December 7, 2012
Develop Service Delivery Models	
	December 21, 2012
Develop Long-Term Sustainability	

Title	Who	Roles / Responsibilities
Executive Sponsor	Office of the Secretary	Serve as ultimate decision maker for project budget, timeline, and scope.
Administrators	Division Administrators	Commit to and champion the project, modeling the expected changes. Provide direction and oversight to the project teams, selecting redesign projects, addressing issues and identifying decision points.
DATCP Project Leader	Perry Brown	Oversee and lead the project. Responsible for providing the project deliverables.
Redesign Projects	Redesign Team Members	Redesign selected division processes adhering to the principles and practices including responsibility for metrics. (See individual team charters)
Redesign Team Leaders	Designated Staff in Divisions	Serve as a team leader directing the work of the redesign team and keeping the project on schedule. Serve as the steward for processes redesigned as a result of the work of redesign teams. Assist with the measurement of process improvements in the control phase.

Signed: _Ben Brancel_   Date: 6- 7-13

Ben Brancel, Secretary

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION
DATCP Six Sigma Continuous Improvement
Project Recommendations

Out of State Travel Authorization Six Sigma- Continuous Improvement Project
The Traveling Wilburys Team

"The Traveling Wilburys" team -- Kelly Monaghan (Team Leader), Kathy Roach, Brian Kuhn, Amanda DeWar, Sowmya Partha, Kelly Smithback and Glen Hanson -- was formed to review the out of state travel authorization process utilizing the Six Sigma methodologies while aligning with DATCP's project charter.

Our team goals were to increase the current 69.4% customer satisfaction rating of the overall out of state travel authorization process by 20%; to reduce the 9 day total average processing time of out of state travel requests by a minimum of 10% through increasing efficiency and process definition; and to increase the 63.5% customer awareness rating of the out of state travel authorization process by 10%.

Through our research, we determined that our customers were comprised of three target areas: those employees who travel, those employees who approve or deny out of state travel requests, and those employees who review or handle out of state travel requests.

Through an anonymous electronic survey, a sample group of customers indicated that they were unsatisfied with the following items:
1. No clear, easy to follow outline of the process.
2. Unclear approval/denial criteria.
3. Lack of a tracking mechanism.
4. Lack of full communications through each step of the process.
5. The authorization process takes too long.

Upon further review of data, our team also determined that there were several areas of waste occurring with the current out of state travel authorization process. Too many reviews for errors were being conducted, extra paper copies were being produced, and two separate tracking logs were being updated within certain Divisions and the Bureau of Finance. Also, utilizing the current paper routing system created unnecessary waiting times in most divisions.

To eliminate these areas of waste while improving our customer's satisfaction and awareness, our team is recommending the following solutions. Several of these solutions may stand alone or be paired with another solution to maximize the overall benefit to the customer.

Solutions

1. Enhance the current electronic submittal process currently being used in DARM and roll out agency wide. This system would be housed on the internet (password protected) to allow most DATCP staff to access it. Travelers or supervisors would submit their out of state travel request electronically and be able to track its progress through each approval step receiving electronic notification when the approval or denial has been received.

   The rough cost estimate for this solution would be $1,500 of IT hourly salary and fringe to work on enhancing the current ARM pilot system (20 hours) and roughly $18 in electronic document storage space per two years. While it is anticipated this may take only 20 hours of time to work on, those 20 hours would be spread over several months due to IT's current staff resources, projects and the general process IT would take when creating this system (define workflow, discovery time, testing etc.). Due to a recent vacancy, Scott Gordon is the only IT staff member that would have the necessary skills needed to work on this project as his time allows. IT will be requesting to fill a vacancy in the near future that would have the skills needed to support this system but the anticipated start date for that individual could be several months away.

   This solution would meet the following needs of all the customers:
   - Easy to understand, clear, accessible, defined outline of the process.
   - Timely turnaround.
   - Full communication through each step of the process.
   - Tracking capability.
   - Electronic access.

2. Utilize the electronic system currently being used by ARM and roll out agency wide. The system is housed on the Department's SharePoint site and would be accessible to the DOMs and all Finance and OS Staff.

   The initial cost to rollout the current electronic pilot would be very minimal. According to IT, they would simply need to change the permissions on the current pilot SharePoint site to allow the other DOM/Division Reps to access it. The hourly IT cost to do this and provide a short training would be roughly $75. The $18 charge every two years for the electronic documents to be stored on the SharePoint site would also apply. In addition, since the DOM/Division Reps would need to convert their paper out of state travel requests and submit them into the electronic approval system, there would be a slightly longer processing time at this step for the additional task to be completed.

   This solution would meet the following customer (DOMs/Division Reps/Finance/OS) needs:
   - Easy to understand, clear, accessible, defined outline of the process.
   - Tracking capability through part of the process.
   - Electronic access through part of the process.
   - Communication through part of the process.

3. Outline the current process flow of the out of state travel request authorization process including the approval criteria as indicated by the Office of the Secretary, as well as including instructions for the appeal of denied requests.

Cost would be very minimal for this solution and would involve the staff time of *The Traveling Wilburys*. A rough estimate would be a day total of work time from start to finish.

This solution would meet the following needs of all the customers:
- Easy to understand, clear, accessible, defined outline of the process.
- Appeal process for denied requests.
- Clear outlined approval criteria.

4. Redesign the process flow to remove the Finance review as a stopping point in the middle of the process. Our team recommends that Finance is notified of all approved out of state travel requests at the same time the Division receives notification at the end of the process flow.

The cost to implement this change would be minimal to none.

This solution would meet the following need of all the customers:
- Timely turnaround.

5. Create and utilize a shared excel tracking system kept on the N: Drive that supervisors/managers, DOMs, Finance, and OS would utilize to manually enter the date the out of state travel request was received and when it has been moved onto the next approval step.

The cost to create the spreadsheet on the N: Drive would be very minimal to none. However, there would be an increase in staff time to update the tracking system at each step, which could delay the processing time throughout the routing system.

This solution would meet the following need of all the customers:
- Tracking capability.

6. Each Division could utilize a specific color-coded folder for their out of state travel requests to assist in moving the requests through their Division levels of approval quickly.

The cost to this solution would be the purchase of the folders.

This solution would meet the following need of all the customers:
- Timely turnaround.

7. Communicate a focus of walking the out of state travel request to the next approval point versus placing it in someone's mailbox; thus promoting faster turnaround time of the request.

The cost to implement this solution would be minimal to none.

This solution would meet the following needs of all the customers:
- Timely turnaround.

After careful review of all the information and process flow documentation, *The Traveling Wilburys* recommend the agency implement the redesign of the process flow in conjunction with outlining the out of state travel authorization process as a whole. Additionally, we would also strongly encourage the department to commit the staff time and resources to develop and implement the enhanced electronic submittal system.

Once the solutions have been reviewed, and one or several have been implemented, our team will review the new time data to determine whether we met our goal of improving the current average processing time of out of state travel requests by a minimum of 10%. We also intend to send a follow-up electronic survey to the same individuals who received our first survey to determine whether we have increased their satisfaction level by at least 20% and increased their awareness of the out of state travel process by at least 10%.

Date: 6-7-13

Ben Brancel, Secretary

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION
DATCP Six Sigma Continuous Improvement
Project Implementation and Control Plan

Out of State Travel Authorization Six Sigma- Continuous Improvement Project
The Traveling Wilburys Team- Implementation Plan

Redesign the current process flow.

Our first team solution would be to redesign the current process flow to remove the Finance review step in the middle of the process. Our team recommends that Finance is notified of all approved out of state travel requests at the same time the Division receives notification at the end of the process flow.

This solution could be implemented immediately via an electronic communication (email) from the Office of the Secretary and would involve notifying the managers/supervisors, DOMs, Finance and OS Staff of the new process flow.

Sustainability would be ensured by the users of this process through abiding by the new process flow and not deviating from it. Focus would be placed on the DOMs/Division Reps to submit their requests directly to Office of the Secretary instead of to Finance.

Time tracking data would continue to be kept after the new process has been implemented and would be compared to previous time data after several weeks to determine whether this solution has had a positive impact on the process and helped us achieve any of our team goals.

Outline the current process flow of the out of state travel request authorization process.

Next, our team recommends that the current process flow of the out of state travel request authorization process be outlined clearly and include the approval criteria as indicated by the Office of the Secretary, as well as including instructions for the appeal of denied requests.

Suggested implementation would require *"The Traveling Wilburys"* to creating the document and post it on the intranet under the Travel Information section on the Finance Forms page. Also a link would be available to the document on the Procedures page under Policy #250 Out of State Travel. Once posted, an email communication to the agency indicating the location of the document would be sent out. For those staff members without access to the intranet, they would be instructed to work with their DOM on accessing a copy through email.

This solution could be implemented within two to three weeks allowing time for *"The Traveling Wilburys"* to create the document, review and post. Once posted, this document would be then be sustained by DMS (HR/Finance) if changes occurred overtime.

Time tracking data would continue to be kept after this solution has been implemented and would be compared to previous time data after several weeks to determine whether this solution has had a positive impact on the process and helped us achieve any of our team goals.

Enhance the current electronic submittal process currently being used in DARM and roll out Agency wide.

Our final solution would involve enhancing the electronic submittal process currently being used in DARM and roll out Agency wide. This system would be housed on the internet (password protected) to allow most DATCP staff to access it. It would have the following features:

- Posted guidelines and procedures for how to use the enhanced system.
- A revised fillable form allowing for a justification to be entered as text and other documents such as an agenda to be attached.
- Certain fields would be mandatory so that the form could not be submitted without being complete.
- The capability to choose who the form should go to next allowing edits to be made back and forth and also allowing for the form to continue moving if someone is out of the office.
- Certain checkpoints would be required i.e. supervisor approval, DOM approval, Division Administrator approval, etc.
- As the form moves past a checkpoint, the traveler would receive an email indicating this along with a link to see the previous flow of the form.
- A reminder feature that emails the person who has the form if it has been sitting in their email longer than 1 day.

Implementation would include creating accessible instructions and rolling the new system out to the managers, supervisors, traveling staff and DOM of a test Division. The test pilot should be allowed to run at least a month while any kinks are worked out with IT. Once the system has been debugged, we recommend rolling out to the remaining Divisions as time and training schedules permit. While the traveling employees would be the focus and benefit the most from this new system, we would recommend that a general email go out to the rest of the agency making them aware of the new system as well.

The timing of implementation would hinge heavily on the IT staff resources needed to work on enhancing the current electronic submittal system. Due to a staff vacancy, the necessary resources would not be available for several months and it would then take another month of redesign before being able to roll out to the test Division.

To sustain this system in the future, we would need buy-in from the management and travelers to ensure that this system is the only tool being used. We would also recommend that within 6 months to a year, a survey is sent out ensuring that the system is still operating as intended and seek any additional improvement suggestions. Also, having clear, easily accessible instructions along with the process flow outlined for staff would help ensure its use in the future for those travelers who don't travel often.

The person or entities responsible for this system would be IT, as they would be enhancing the current ARM pilot and they would be the point of contact that travelers would go to for day to day electronic support of the system.

Once this final solution has been implemented for at least several months, we intend to send out another anonymous survey to the original survey control group to determine whether the customer satisfaction rating and customer awareness ratings have increased.

Susan Buroker

Sue Buroker, Executive Assistant

Date: 6-5-13

WISCONSIN DEPARTMENT OF AGRICULTURE, TRADE & CONSUMER PROTECTION

DATCP Six Sigma Continuous Improvement
Project Charter

NAME: DATCP T.V. Critics (Travel Vouchers Lean Six Sigma Team).

DOCUMENT LAST UPDATED: November 14, 2012

EXECUTIVE SPONSOR: Office of the Secretary

Ben Brancel, Secretary
Jeff Lyon, Deputy Secretary
Susan Buroker, Executive Assistant

DATCP SIX SIGMA POINT OF CONTACT:

Perry Brown, Office of the Secretary

GROUP MEMBERS

Kevin LeRoy
Sandy Eklund
Dave Hansen
Barb Stalker
Becky Podgorski
Anne Frank

KEY STAKEHOLDERS:

DATCP staff who travel for state business
DATCP staff who process travel reimbursement requests

SECONDARY STAKEHOLDERS:

Citizens
Management
DATCP "customers" (licensees, permit holders, etc.)
Auditors

OVERVIEW

This group will analyze DATCP system for collecting travel reimbursement requests from employees, and recommend changes to that system to ensure this task is handled as efficiently and timely as possible — while ensuring accuracy and integrity.

CONSTRAINTS

- The Travel Voucher Form itself is dictated by DOA. Any changes to the form itself must be minimal.
- Per DOA's travel voucher form, supervisors are required to sign-off on travel requests. Therefore, we cannot recommend changing this step.
- Per DOA's travel voucher form, employees are required to sign-off on travel requests. Therefore, we cannot recommend changing this step.

VISION

In order to insure DATCP remains a leader in assuring the safety, security and consumer confidence in the products and services offered throughout the State of Wisconsin, lean government implementation will engage staff and outside stakeholders in the recommendations for change and successful implementation of service delivery to the citizens of Wisconsin.

Specific to T.V. Critics

T.V. Critic's vision for project is to streamline, simplify, and increase accuracy in DATCP's travel reimbursement process.

GUIDING PRINCIPLES (copied from overall project charter)

- *Customer Service:* Providing appropriately high levels of customer services is essential.
- *Engage:* Proactively engage / involve staff in the design and implementation of DATCP Lean Initiative.
- *Value:* Recognize and respect the expertise, value and contributions of administrative staff.
- *Streamline:* Find ways to streamline and simplify business processes.
- *Standardize:* Work toward division-wide standardization of administrative processes.
- *Collaborate:* Look for opportunities to work collaboratively.
- *Improve:* Focus on improving quality and timeliness of administrative services within existing budgets.
- *Leverage:* Leverage technology to meet business needs.
- *Communicate:* Communicate frequently and effectively throughout the project.
- *Change:* Value the past and the present while building a solid foundation for the future.

PROJECT GOALS

- Reduce error rate
  - o Reduce error rate to no more than 10%. According to a recent sample, Bureau of Finance finds errors on 20% of travel vouchers.[1]

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[1] The sample was the four week period between August 17 and September 7, 2012. There were errors on 71 of the 365 travel vouchers submitted.

- All request processed in a timely manner
  - o In a recent sample, there were at least four occurrences of employees not receiving their reimbursement on the next pay check after they submitted the voucher to their supervisor. Our goal is to have *all* employees receive their reimbursement on the next paycheck.
- Increase efficiency / eliminate unnecessary steps

DELIVERABLES

The group will analyze current practices and submit policy and /or procedure recommendations to Perry.

TIMELINE

Project Start   August 28, 2012

Analysis Phase   September & October, 2012

Finalize Recommendations   November, 2012

Ben Brancel, Secretary   Date: 6 - 7 · 13

State of Wisconsin
Governor Scott Walker

Department of Agriculture, Trade and Consumer Protection
Ben Brancel, Secretary
Six Sigma – Continuous Improvement

Final Report and Recommendations

by "T.V. Critics"
DATCP Travel Voucher Reimbursement Process Review Team

February 14, 2013

Introduction & Summary Conclusions

The T.V. Critics group was formed to review DATCP's travel voucher approval and submission processes. This Six Sigma project is one of three that was initiated as DATCP's portion of Wisconsin State Government's "Lean Government" project.

T.V. Critics recommends the following:
1. Offer training to employees concerning correct completion of the travel voucher reimbursement request form (hereafter referred to as the "travel voucher" or "TV").
2. Revise travel voucher to more clearly differentiate between travel that required an overnight stay and travel that did not require an overnight stay.
3. Supervisors should:
    a. Understand the significance of the deadline for submitting TV to the Division Office Manager or Bureau of Finance ("BoF").
    b. Establish reasonable deadlines for employees by which TV must be submitted to the supervisor, thereby allowing the supervisor to meet filing deadline.
    c. Establish a backup approver; and inform employees that they may submit the TV to that designated person for approval on occasions when the supervisor is not available.
4. Reduce duplicate efforts in the review and approval process.

The above recommendations are explained in more detail in the main body of the report.

Goals

After an initial examination of the travel voucher approval and submission process, T.V. Critics established a list of three goals for improvement.

1. Reduce error rate.
2. Ensure timely processing of all reimbursement requests.
3. Increase efficiency and eliminate unnecessary steps.

Data Analysis I
Flow of Approval Process

The flow chart below depicts the approval of a travel voucher.

Travel Voucher -- Submission and Approval

Phase

Traveler	Traveler completes travel voucher → Traveler signs voucher and submits it to supervisor
Supervisor	Supervisor reviews voucher → Is voucher complete and accurate? —Yes→ Supervisor signs voucher, and submits it to either the DOM or directly to Finance
Division Office Manager (or designee)	DOM adds accounting string information to voucher → DOM reviews voucher → Is voucher complete and accurate? —Yes→ DOM submits voucher to Finance
Bureau of Finance — Audit	Finance reviews voucher → Is voucher complete and accurate? —Yes→ Finance Enters T.V. into Wismart → Finance supervisor approves and post transaction in Wismart

Please note that in some divisions the supervisors who approve travel vouchers submit them directly to Bureau of Finance. In other divisions supervisors submit the vouchers to the Division Office Manager or some other centralized person within the division. In such cases, that person reviews the vouchers before submitting them to Bureau of Finance.

Data Analysis II
Sample of Travel Vouchers

Travel Vouchers are grouped and processed in batches based on employee paycheck dates. In order for an employee to receive the reimbursement in the next paycheck, the voucher must be submitted to BoF by 5:00 pm on the Friday after payday. Bureau of Finance then has until the following Tuesday to post the transaction in WisMart.

T.V. Critics examined all travel vouchers from the six pay-dates listed below:
- September 20, 2012
- October 4, 2012
- October 18, 2012
- November 1, 2012
- November 15, 2012
- November 29, 2012

These six pay periods represent a total 1,022 vouchers, or an average of 170 per period. Within this set there were 218 vouchers with errors, which means that the error rate is approximately 21%. These amounts are shown on the chart below. In addition, this chart also shows the break out of travel vouchers from each division as well as the error rate by division.

	total TV	TV w/ errors	Error Rate
ARM	269	41	15%
DAD	46	19	
OAH	74	8	11%
DFS	487	123	
DMS/OS	65	14	22%
TCP	101	13	13%
total	1022	218	21%
average	170	36	21%

Of the 1,022 vouchers examined, BoF staff reported a total of 334 errors. (These 334 errors were on 218 vouchers; a number of vouchers contained more than one error.) The errors fall into twelve types, listed on the table below, along with the number of each error type.

Taxable/Non tax		116
No indicator of O/N stay		85
Incorrect Mileage Rate		39
Calculation Error		31
Ineligible Meal-time		27
Missing Depart/Return		18
Travel Point Missing		8
Missing Supervisor Signature		3
No Receipts		2
Exceeded meal allowance		2
Ineligible meal-lunch provided		2
Submitted & withdrew process		1
Total		334

The most common error was incorrectly reporting taxable meal reimbursement as nontaxable, or vice versa. This error occurred 116 times, and accounted for approximately 35% of the total errors. The second most common error, no indication of whether travel involved overnight stay, occurred 85 times. These two error types are closely related because the overnight stay is the factor that determines whether or not the meal reimbursement is taxable income.[1]

Bureau of Finance staff also examined a portion of the travel vouchers for timeliness of submission. It appears that, in a few instances, the traveler submitted the voucher to their supervisor before the deadline, but the supervisor did not approve and submit the voucher in time to meet the current pay-period cut-off deadline. This means that these employees had to wait until the following pay period to receive their money.

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[1] Pursuant to IRS rules, reimbursement for a meal when the employee was in "travel status", when the employee stayed away from home overnight, is not considered as taxable income. However, if there was no overnight stay, then the meal reimbursement must be added to income for tax purposes.

Recommendations

Training for employees

DATCP should offer periodic training to employees on travel expense reimbursement. Topics could include:
- How to properly fill-out the TV
- Appropriate reimbursement rates for
  - Mileage
  - Meals
  - Lodging
- Types of purchases that require receipts.

Bureau of Finance already offers a similar training for new employees. They should expand the reach of this training to more seasoned employees. The training could be held in conjunction with already scheduled work-group meetings.

Revise electronic travel voucher form to more clearly differentiate between travel that required an overnight stay and travel that did not require an overnight stay.

Most travelers use an Excel spreadsheet version of the TV form. This spreadsheet was adopted from the old paper form created by DOA. Because the spreadsheet is based on a DOA form, we cannot make major changes to it. However, the TV Critics group recommends some relatively minor changes that should reduce the most common errors (taxable v. nontaxable meals and no indication of overnight stay):
- Insert a column for Overnight Stay – Yes or No. This column would be placed in front of the existing "overnight stay".
- Create IF-THEN-ELSE formulas in the daily total cells to treat meals as either taxable on nontaxable based on whether the new Overnight Stay column is "yes" or "no".
- In the cells where meal reimbursements are recorded program the spreadsheet to display error message if the user tries to input an amount in these cells without having first answered the yes/no question about overnight stay.
- Delete the IF-THEN-ELSE formulas in the current spreadsheet that are based in the user having put anything in the "lodging" column

Recommendations for Supervisors

Understand the significance of the deadline for submitting TV to the Division Office Manager or Bureau of Finance. Supervisors must understand that forms must be submitted to

Bureau of Finance by 5:00 on the Friday following a payday in order for travelers to be reimbursed in the next paycheck.

Establish reasonable deadlines for employees by which TV must be submitted to the supervisor, thereby allowing the supervisor to meet the filing deadline.
For example, if the supervisor feels they need 24 hours to review and approve vouchers, they should make it clear that their employees must submit the voucher by 5:00 on Thursday in order to be reimbursed in the next paycheck. The agency need not dictate this deadline; as long as employees understand their individual supervisor's deadline the vouchers will be processed in an acceptable timeframe.

Establish a backup approver; and inform employees that they may submit the TV to that designated person for approval on occasions when the supervisor is not available.
Supervisors should inform employees of a contingency plan in the event the supervisor is not available to approve travel reimbursement requests. For example, individual field supervisors could agree to provide back-up for one another. Alternatively, the supervisor's supervisor could approve the vouchers. Again, each work-unit should determine their own policy in this matter, and inform employees of that policy.

Reduce duplicate effort in the review and approval process.

Currently, travel vouchers pass through a number of hands (see flow chart on page 2). One would assume that each person is checking the voucher for accuracy, completeness, and that it is within state-mandated limits. However, a 21% error rate suggests that maybe this is not the case. TV Critics recommend that the three levels of reviewers/approvers (direct supervisors, division office managers, and Bureau of Finance) come to a mutual understanding regarding which party is responsible for checking which specific areas of the T.V. In the table below, we suggest check-list items for each level. In this table each item is checked twice to make sure it's accurate, but not three times in an effort to eliminate unnecessary redundancy.

	Supervisor	DOM (or designee)	Finance
Employee Information			
Name	√		√
Dept. & Division	√		√
Last 4 Digits of SS	√		√
Address	√		√
Employee status	√		√

|	Supervisor	DOM (or designee)	Finance
Headquarters location	√		√
Travel Period	√		√
Accounting String Information		√	√
Travel Details			
Dates	√	√	
Purpose of trip	√	√	
Travel points	√	√	
Headquarters time	√	√	
Personal Vehicle Miles			
Number of miles relative to travel points		√	√
Correct rate applied		√	√
Lodging			
Reimbursement amounts within limits		√	√
Overnight stay (and therefore taxability) is indicated accurately		√	√
Receipts attached		√	√
Meals			
Allowable relative to headquarters time		√	√
Allowable relative to travel distance		√	√
Within dollar amount limits		√	√
Correct taxable or non taxable		√	√
Other expenses are for allowable goods or services	√		√
Tax / nontax is accurate		√	√
Entire spreadsheet is added correctly		√	√
Signatures are correct		√	√

Control Plan

Upon approval from executive staff, T.V. Critics will assist help implement the recommendations discussed above. More specifically, T.V. Critics role in implementation would be:
- Revise electronic travel voucher form for BoF to post on agency's intranet and other locations
- Communicate to supervisors regarding:
  - Availability of having BoF staff attend their staff meetings to provide T.V. training, and how to contact BoF to obtain this training.
  - The need to establish reasonable deadlines for their staff to submit vouchers, and a back-up approver. If necessary, help them communicate this to their individual staffs.
  - "Check list" of items that they are expected to review before signing and submitting voucher.

T.V. Critics will reconvene in August, 2013 and examine a sample of travel vouchers to determine if the recommendations led to improvement.

Ben Brancel, Secretary
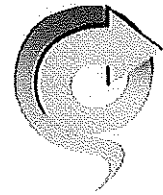
Date: 6-7-13

DATCP Six Sigma Continuous Improvement
Project Implementation and Control Plan

<u>**Name:**</u> DATCP Travel Voucher Reimbursement Process Review Team

<u>**Current Project Owner:**</u> DATCP Office of the Secretary

<u>**Project Implementation Goals:**</u>

Training for employees

DATCP should offer periodic training to employees on travel expense reimbursement. Topics could include:
- How to properly fill-out the TV
- Appropriate reimbursement rates for
  - Mileage
  - Meals
  - Lodging
- Types of purchases that require receipts.

Bureau of Finance already offers a similar training for new employees. They should expand the reach of this training to more seasoned employees. The training could be held in conjunction with already scheduled work-group meetings.

Revise electronic travel voucher form to more clearly differentiate between travel that required an overnight stay and travel that did not require an overnight stay.

Most travelers use an Excel spreadsheet version of the TV form. This spreadsheet was adopted from the old paper form created by DOA. Because the spreadsheet is based on a DOA form, we cannot make major changes to it. However, the TV Critics group recommends some relatively minor changes that should reduce the most common errors (taxable v. nontaxable meals and no indication of overnight stay):
- Insert a column for Overnight Stay – Yes or No. This column would be placed in front of the existing "overnight stay".
- Create IF-THEN-ELSE formulas in the daily total cells to treat meals as either taxable on nontaxable based on whether the new Overnight Stay column is "yes" or "no".
- In the cells where meal reimbursements are recorded program the spreadsheet to display error message if the user tries to input an amount in these cells without having first answered the
  yes/no question about overnight stay.
- Delete the IF-THEN-ELSE formulas in the current spreadsheet that are based in the user having put anything in the "lodging" column

Recommendations for Supervisors

Understand the significance of the deadline for submitting TV to the Division Office Manager or Bureau of Finance. Supervisors must understand that forms must be submitted to Bureau of Finance by 5:00 on the Friday following a payday in order for travelers to be reimbursed in the next paycheck.

Establish reasonable deadlines for employees by which TV must be submitted to the supervisor, thereby allowing the supervisor to meet the filing deadline.
For example, if the supervisor feels they need 24 hours to review and approve vouchers, they should make it clear that their employees must submit the voucher by 5:00 on Thursday in order to be reimbursed in the next paycheck. The agency need not dictate this deadline; as long as employees understand their individual supervisor's deadline the vouchers will be processed in an acceptable timeframe.

Establish a backup approver; and inform employees that they may submit the TV to that designated person for approval on occasions when the supervisor is not available.
Supervisors should inform employees of a contingency plan in the event the supervisor is not available to approve travel reimbursement requests. For example, individual field supervisors could agree to provide back-up for one another. Alternatively, the supervisor's supervisor could approve the vouchers. Again, each work-unit should determine their own policy in this matter, and inform employees of that policy.

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Susan Buroker

Date: 6-5-13

Sue Buroker, Executive Assistant